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ABSTRACT

The Copyright Clearance Center (CCC) is a nonprofit service which provides libraries and organizations needing permission to make copies legally with a simple, centralized mechanism through which to report and to pay for copying after it has been done, with no delay for users. This handbook for libraries and organizations which copy from serials and separates outlines CCC operations. Sections cover procedures, user reporting of fee-required copying, payments, and confidentiality. User Registration Forms, an explanation of article-fee codes, examples of reporting copies, log sheets, and a description of the Center are appended. (Author/KP)

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CCCI-77/2

HANDBOOK FOR LIBRARIES AND OTHER ORGANIZATIONAL USERS WHICH COPY FROM SERIALS AND SEPARATES:

PROCEDURES FOR USING THE PROGRAMS OF THE COPYRIGHT CLEARANCE CENTER, INC.

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TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC) AND USERS OF THE ERIC SYSTEM."

COPYRIGHT CLEARANCE CENTER, INC.

Administrative Office:
One Park Avenue
New York, New York 10016

Operations Office:
P. O. Box 765
Schenectady, New York 12301

OCTOBER 1977

IR005805

CONTENTS

Page

ABSTRACT

1.0 INTRODUCTION 1

2.0 OUTLINE OF PROCEDURES 2

3.0 USER-ORGANIZATION REGISTRATION 3
- 3.1 General 3
- 3.2 Basic Requirements of the Center 3
- 3.3 User Provision of An Official Address or Addresses 3
- 3.4 CCC User-Organization Number 4
- 3.5 Registration Fee 4

4.0 USER REPORTING OF FEE-REQUIRED COPYING 4
- 4.1 Copying Fees 4
  - 4.1.1 For Article-Fee Coded Articles 4
  - 4.1.2 For Uncoded Articles 4
- 4.2 Methods of Reporting 5
  - 4.2.1 Reporting Copies of First Pages of Articles 5
  - 4.2.2 Reporting Log Sheets 5
  - 4.2.3 Computerized Reporting 6
  - 4.2.4 Incorrect Reporting 6
  - 4.2.5 Reporting by Copy-Supplying Libraries 6
  - 4.2.6 Additional Information Needed When Payment Accompanies Reporting Copies or Logs, or For Prepayment 7
  - 4.2.7 Validation of Reporting Shipments 7

5.0 PAYMENTS TO THE CENTER 7
- 5.1 Deposit Accounts 7
- 5.2 Monthly Billings 7
- 5.3 Payments Accompanying Reporting 8
- 5.4 Prepayment Methods 8

6.0 CONFIDENTIALITY 8

7.0 OTHER MATTERS 9
- 7.1 Coverage 9
- 7.2 Fair Use and Section 108d/g Copying 9
- 7.3 Making Copies from Earlier Copies 10
- 7.4 Microform Copying of Articles 10
  - 7.4.1 Provision as Microforms 10
  - 7.4.2 Provision of Paper Copies from Microforms 10
- 7.5 Record Keeping 10

APPENDIXES

I. CCC User-Organization Registration Form (CCC-U1) 11

II. A Brief Explanation of CCC Article-Fee Codes 12

III. Example of a Marked Reporting Copy for a Coded Article 15

IV. Example of a Marked Reporting Copy for an Uncoded Article . . . 16

V. CCC Log Sheet for Coded Articles (CCC-U2) 17

VI. CCC Log Sheet for Uncoded Articles (CCC-U3) 18

VII. ILL Form Marked to Report a Coded Article 19

VIII. ILL Form Marked to Report an Uncoded Article 20

HANDBOOK FOR LIBRARIES AND OTHER ORGANIZATIONAL USERS WHICH COPY FROM SERIALS AND SEPARATES: PROCEDURES FOR USING THE PROGRAMS OF THE COPYRIGHT CLEARANCE CENTER, INC.

1.0 INTRODUCTION

On January 1, 1978, the new United States Copyright Law (P.L. 94-553) which was enacted in 1976 goes into effect. Its provisions affect libraries and other organizational users of document copies in many ways, especially as regards the use of "articles" and similar short documents. The new law makes it clear that the permission of the copyright owner is required by anyone needing to do systematic and other kinds and quantities of copying not permitted under Sections 107 or 108. However, Congress has also made it clear that it does not want to turn back the clock technologically: that it wants to assure adequate access to copyrighted works. Specifically, the Senate recommended to authors, publishers, and others concerned that "workable clearance and licensing procedures be developed . . . concerning library photocopying practices not authorized by the new law."

Accordingly, the Copyright Clearance Center, Inc., has been established as an independent, not-for-profit centralized mechanism whose use can obviate the need to obtain hundreds or thousands of individual licenses from publishers by libraries, library consortia, information-on-demand businesses, access services, and others needing the right to prepare photocopies beyond the limited extent otherwise permitted by the new law. Existence of the Center does not in any way prevent publishers from continuing their normal permissions programs, or users from asking for them, but the Center's programs should also be of real benefit and convenience to publishers.

The initial planners of the Center were largely publishers, authors, information-center managers, librarians, and others in the technical, scientific, and medical areas--areas in which the photocopying of "articles" is already widespread and important. However, this planning always called for the services of the Center to be open to use by publishers and users of all types of collections of short works (journals, magazines, newsletters, proceedings, symposia, etc.), including separates, and this is now the case operationally. Indeed, it is anticipated that, perhaps with some modifications, the Center will be able to accommodate works of all types, regardless of length. The Board of Directors and Advisory Committee of the new Center are broadly representative of authors, publishers, and document users.

This handbook provides operational information to libraries and other organizational users of document copies which need to use the services of the Copyright Clearance Center. A handbook for the use of serial publishers (CCCI-77/1) has also been prepared to expedite the inclusion in the Center's programs of the serials, other collections of short works, and separates to which access is desired by users.

The Copyright Clearance Center, Inc., does not itself provide copies of documents. That is presently the role of the publishers themselves, of directly licensed or Center-using information businesses and other access services, of resource libraries, and of libraries and information services within organizations. It should also be clearly understood that payments through the Center are not required when the copy supplier (including an internal library) has direct licenses from the publishers to make its copies. To repeat, what the Center can and does do is to provide libraries and other organizations needing permission to make copies legally with a simple, centralized mechanism through which to report and to pay for this copying after it has been done, hence with no delay for those needing the copies.

The costs of operating the Center's system (its Operations and Administrative Offices) will be deducted from the publisher-stated copying payments received (see Section 4.1) through a processing charge periodically determined by the Center's Board of Directors, before copying revenues are transmitted quarterly to the serial publishers or authors. Because of the efficiency of the Center's system design, which maximizes computer processing, this internal handling cost will be small ($0.25 per article copy for 1978), and can be reduced considerably as the volume of reported copying increases. (Reports that handling costs will consume copying payments are therefore completely unfounded, especially since funds contributed by concerned parties will make it unnecessary to amortize the expenses involved in bringing the Center into full operation.)

The Center has also designed its systems, including reporting and payment options, to minimize the incremental internal operating expenses of user organizations.

2.0 OUTLINE OF PROCEDURES

Details of procedures are presented in subsequent sections and appendixes of this handbook. In essence, it is suggested that the following procedures be adopted by copying units in organizations whose staffs or clients need to have photocopies made for them, or to make copies for themselves that are beyond those permitted under the new copyright law, and who wish to use the services of the Center:

2.1 Register with the Center's Operations Office, in order to record the correct address for financial and other transactions, to obtain a corresponding CCC User-Organization Number that can be employed when reporting copying (see Section 3.0), and to receive lists and other information from the Center.

2.2 Report to the Operations Office periodically (usually monthly) their photocopying that requires copying-fee payments, in one of several ways--by sending in marked copies of first pages of the articles copied (see Section

4.2.1), by sending in data logs (see Section 4.2.2), or by providing their copying data in computer-readable form compatible with the system of the Center's operating agency (see Section 4.2.3). Copy-supplying libraries have several options (see Section 4.2.5).

2.3 Pay the fees required for this photocopying by one of several methods, as soon as possible against deposit accounts (once their level of copying is established), but initially after monthly billings by the Center's Operations Office (see Sections 5.1 and 5.2); by payments accompanying copy reporting (see Section 5.3); or by prepayment methods such as the use of stamps or stamping meters if enough users request their availability (see Section 5.4).

3.0 USER-ORGANIZATION REGISTRATION

3.1 General. Each copy-using organization employing the services of the Center should register with the Center's Operations Office, using a copy of the User-Registration Form CCC-U1 (Appendix I). Submission of this form implies the intention of the user organization to comply with the Center's basic requirements, and provides an official address or addresses for financial and other transactions. The user organization will then receive unique CCC User-Organization Number(s) to use when reporting and paying for copying. (Copyright owners have indicated that failure to register with the Center will not exempt organizations from legal obligations to pay copyright owners in some manner.)

3.2 Basic Requirements of the Center. Basic requirements for use of the services of the Copyright Clearance Center, Inc., are relatively few:

3.2.1 Consistently comply with the copying-reporting procedures of Section 4.0.

3.2.2 Keep deposit accounts (if used) at the required level, or pay for invoiced copying within 30 days if possible.

3.2.3 Reproduce all separates or portions of articles exactly as published, with no textual or data alterations of any kind except for addition or notation of published errata, or addition of copyright notice.

3.2.4 Users cannot be authorized by the Center to produce copies for public distribution, e.g., for advertising or promotion purposes, for creating new collective works, or for resale to the general public, as opposed to providing copies for internal use or for specific clients. (The copyright owners should be contacted directly for these and similar purposes.)

3.3 User Provision of An Official Address or Addressee. A user organization may choose to report and to pay for its fee-required copying centrally; if so, it need employ only one copy of the User-Registration Form CCC-U1 (Appendix I). Alternatively, a user organization may choose to register a number of units, eventually establishing deposit accounts for each one (initially

authorizing separate monthly invoicing); if so, it should employ a separate copy of Form CCC-U1 (Appendix I) for each such unit.

3.4 CCC User-Organization Number

3.4.1 After receipt and checking of each User-Registration Form, the Center's Operations Office will issue each user organization or authorized unit a unique CCC User-Organization Number.

3.4.2 The CCC User-Organization Numbers will initially be assigned arbitrarily (consecutively) by the Center. If/when an American National Standard Institute code or codes for libraries and related organizations has been developed, adopted, and is in general use (none is currently available), the Center will consider converting its registration numbers accordingly.

3.5 Registration Fee. The Copyright Clearance Center, Inc., does not contemplate requiring a registration fee.

4.0 USER REPORTING OF FEE-REQUIRED COPYING

4.1 Copying Fees. Users should understand that each individual publisher will set its own individual article-copying fees (if any). The copying-revenue needs of each publisher vary with many factors, and publishers are under legal constraints against agreeing on copying fees. Moreover, the publisher of each serial will retain the right to establish whether or not a given article or other journal document (news story, "Note," editorial, etc.) will or will not carry a copying fee, and what any fee will be.

4.1.1 For Article-Fee Coded Articles. Beginning in 1978, individual publishers of journals, magazines, newsletters, other collections of short works, and separates who desire to use the Center's system (to permit user organizations to pay the Center for fee-required copying, and to receive corresponding revenues from the Center) have been requested by the Center to appropriately publish on the first page of each post-1977 article or short work (hereinafter referred to as "article") for which they require a copying fee a standardized (article-fee) code that both identifies the article (and hence the publisher) and states the specific-article copying fee.

Users will usually find these article-fee code statements at the bottom of the first pages of most post-1977 articles or separates for which CCC-based copying fees are required. Appendix II presents a brief explanation of how these codes are derived, based on the work of ANSI Standards Committee Z39, Subcommittee 34.

4.1.2 For Uncoded Articles. Naturally, no article-fee codes appear on the first pages of articles published before 1978. Where participating publishers wish to require payment through the CCC of copying fees for copyrighted articles that are uncoded, they have been supplied with forms to

provide the Center with a statement of these fees for each serial involved, along with its title and ISSN (International Standard Serial Number).* Because of CCC system limitations, the fees required for uncoded articles for a given serial title will be stated either per-article or per-page, although within these limitations publishers will determine their prices individually.

The Center will shortly prepare and will distribute to each registered CCC User Organization a list of these uncoded-article serial and separates titles and their corresponding copying-fee requirements, and the Center will periodically supply updates. (Additional copies of these lists will be available from the Center for a small fee.) Eventually, these data may be available on-line.

4.2 Methods of Reporting. User organizations may choose among several methods of reporting their fee-required copying to the Center's Operations Office after the copies have been made.

4.2.1 Reporting Copies of First Pages of Articles. User organizations so desiring may make and periodically (usually monthly)** send to the Center's Operations Office bundles of reporting (marked) copies of the first page of each article photocopied for which fee payment is required, or which have been obtained from a source which is neither licensed by the publisher nor desireous of handling fee payments to the Center for users. The user should mark each of these reporting pages with its CCC User-Organization Number and the number of copies made (e.g., "10 Copies"). The user should also check reporting pages for uncoded articles to see that they bear at least the title of the serial, the issue date, and the initial page number of the article; if not, the user should write in the missing data; also, for uncoded articles it should write in the number of pages in the article copied (e.g., "7 Pages"). (See examples in Appendixes III and IV.) See also Section 4.2.6 for additional requirements for reporting copies involving prepayment or payment accompanying reporting.

4.2.2 Reporting Log Sheets. User organizations may alternatively report their fee-required copying periodically (usually monthly)** on copies of the log sheets shown in Appendixes V (for coded articles) or VI (for uncoded articles). This reporting should provide the same data as in Section 4.2.1, as indicated by spaces provided on these forms.

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*As explained in Appendix II, some non-serial compendia and separates will need to employ ISBN (International Standards Book Numbers) or STRN (American National Standard Technical Report Numbers).

**User organizations making less than 50 fee-required copies each month may report quarterly.

4.2.3 Computerized Reporting. User organizations wishing to employ computerized transactions reporting should periodically (at least monthly) send to the Center's Operations Office an appropriately prepared computerized record of the article code and copying price for each coded article copied or obtained for which a fee is required, along with the number of copies made of each such article. The Center's Operation Office will shortly be able to supply specifications for this reporting, and on how to report copying of uncoded articles.

4.2.4 Incorrect Reporting. It will cost the Center much more to handle an incomplete or extraneous copying report than it will to process a correct one, because of a penalty clause in the contract operator's requirements. Accordingly, it will be necessary for the Center to charge the user organization $2 per incomplete report of copying from uncoded articles (for entries that lack the serial's title), and $1 per extraneous report of copying from serials of any date that are not yet in the Center's system.

4.2.5 Reporting by Copy-Supplying Libraries. A copy-supplying library which receives requests from other libraries or from information businesses to supply copies that are stated to be in excess of any requesting-library rights under Section 107 or 108 may supply such requested copies in one or more of the following ways. (Copy-supplying libraries willing to serve user organizations in any or all of these ways should inform these user organizations as to their specific options.)

1. By itself registering with the Center, reporting and paying for this additional copying to the Center, and handling charges to the requesting organizations in accordance with its individual arrangements with them.

2. By transmitting to the Center (for charging to the requestor) a copy of the Interlibrary Loan (ILL) form for each such fulfilled fee-required request, provided that it has the advance authorization of the requesting library to do this (see Appendixes VII and VIII for appropriately marked copies of the ILL form). However, this procedure will be acceptable to the Center only if the copy-supplying library has checked to see that the requesting library has added to the ILL form its CCC User-Organization Number, the article-fee code for post-1977 articles, the number of copies requested (supplied), and--for pre-1978 articles--the number of pages in the article (regardless of whether this can be derived from the bibliographical data).

3. By receiving from the Center authorization to supply such copies to specific requesting libraries that have previously arranged with the Center to report such

fee-required copies themselves after their receipt. (If the requesting organization desires it, the supplying library may additionally supply a CCC-reporting copy of the first page of each such article without any CCC fee requirement.)

4.2.6 Additional Information Needed When Payment Accompanies Reporting Copies or Log Sheets, or For Prepayment. As noted later in Sections 5.3 and 5.4, user organizations may optionally send payments along with shipments of reporting copies or log sheets, or may be provided with prepayment mechanisms. In all such cases the user organization should calculate and show the total payment required for each copying transaction. For coded articles nothing need be calculated for one copy (the fee is in the copying-fee code); when more than one copy has been made, however, the total fee will simply be the product of the multiplication of the number of fee-required copies made by the per-copy fee included in the article-fee code. For uncoded articles the user should look up (in the list provided by the Center) the unit copying fee required by the serial (multiplying any per-page fee by the number of pages to obtain the per-copy fee), and for multiple copies multiplying the per-copy fee by the number of fee-required copies made. In both cases the total payment should be written onto the reporting copies (e.g., "$XX.XX Total"), except for single copies of coded articles, or entered on the log sheets in all cases.

4.2.7 Validation of Reporting Shipments. Along with each shipment of reporting copies, logs, or computerized transactions information the Registered User Organization should send a validating cover letter or form showing both the assigned CCC User-Organization Number and the corresponding name and address of the organization, along with appropriate phraseology authorizing charging or indicating prepayment or accompanying payment. (After experience is gained, and if users so desire, it may eventually be possible to drop the requirement (see Section 4.2.1) that all reporting copies carry the CCC User-Organization Number.)

5.0 PAYMENTS TO THE CENTER

5.1 Deposit Accounts. The Center will eventually provide for the establishment and maintenance of deposit accounts in appropriate amounts for user organizations. This will not be done initially, however, because it will probably not be possible initially to estimate the appropriate size of such accounts for those user organizations desiring them.

5.2 Monthly Billings. Initially, the Center is willing to provide monthly billings, payable within 30 days, if possible, for user organizations not sending payments with reportings or using prepayment. User organizations should promptly provide the appropriate purchase requisitions if they require their use. Each routine statement will show the number of fee-required copies

reported and the total fee charged. For a nominal additional charge* a user organization may obtain at stated times (as part of an amplified monthly statement, quarterly, semi-annually, or annually) a printout of the details of the amount and cost of its copying from each serial copied during a stated period, with further breakdown at least by year of issue if so specified.

5.3 Payments Accompanying Reporting. Payment for fee-requiring copying may also be made by accompanying each collection of reporting copies or logs with a corresponding adding-machine tape and payment check. As indicated in Section 4.2.6, it will be necessary for this method for the user organization to calculate and to write the total payment required for each copying transaction on the accompanying reporting copy or log. (Such calculations are not required for payments against deposit accounts or billings; for these payment methods all totalings (including lookups) will be done by the Center's Operations Office.)

5.4 Prepayment Methods. If prepayment proves to be desired by a sufficient number of user organizations, the Center will arrange for those organizations reporting their fee-required copying by sending in reporting copies of the first pages of articles to be able to pay for such copying in advance by using standard stamping meters (leased through the Center or otherwise obtained) to print the appropriate coded or listed price (or aggregate for multiple copies) on each reporting copy as evidence of prepayment. Provision of dies bearing the organization's CCC User-Organization Number and prompt on-demand sale of meter loads could be arranged through the Center's Operations Office. Alternatively, if desired, the Center would be able to arrange through its Operations Office for a user organization desiring prepayment to buy CCC adhesive stamps (of trading-stamp size) in panes of 25 in the following denominations: $0.01, $0.05, $0.10, $0.25, $0.50, $1.00, and $5.00, for affixing to each reporting copy or copies as evidence of prepayment.

Just as for the use of payments accompanying reporting (Section 5.3), it would be necessary for user organizations desiring to prepay with stamping meters or adhesive stamps to calculate and preferably to write on the reporting copy the total payment required and so prepaid. Again, such calculations are not required for payments against deposit accounts or billings.

6.0 CONFIDENTIALITY

The data processing and reporting systems of the Center are so designed as to provide confidentiality to publishers, authors, and user organizations which employ the Center's services. As regards a specific user-organization's reporting, no other user organization would be permitted to learn what serials it copied from, much less what articles it copied.

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*For 1978 the base cost will be $50 plus postage per printout, plus $0.60 per 1,000 lines, a line being the number of copies from a given serial, the number of copies of an article, etc.

7.0 OTHER MATTERS

7.1 Coverage. The participation in the Center of TSM (technical-scientific-medical) and other serial publishers is on a voluntary basis. However, many of those involved in planning for a center indicated that to improve the universality of the system they would favorably consider an umbrella statute as an amendment to Section 108 of the copyright law which would protect users by permitting their reasonable copying (not for public distribution) of TSM-journal articles published after December 31, 1977, that do not bear the code, subject only to the right of the non-participating TSM journal publisher to collect a reasonable copying fee.

To assist users and to promote the growth of this system, the CCC will shortly publish a list of the serials which have indicated that they will participate in this program, and it will publish additional lists as appropriate. These will be in addition to the lists mentioned in the second paragraph of Section 4.1.2, unless it is decided to combine the lists.

Because demands exist and will grow for the provision of separates of other copyrighted short documents, such as items in other scholarly, general interest, business, and trade periodicals, the publishers of any or all of these can immediately participate in the current program by placing the proper codes on the first pages of their documents and by providing fee data for earlier issues for inclusion in lists. Moreover, non-U.S. serial publishers publishing journals abroad are immediately eligible to use the Center's system. An active program is under way to assure maximum participation.

Certain magazines may be permitted in 1978 not to carry article-fee codes on first pages of articles, but instead to rely on CCC copying-fee statements in their mastheads, and on information supplied in the CCC's lists. This seems preferable to not having these magazines immediately available for copying through the CCC's system.

Naturally, libraries and other copying organizations need not report to the Center their copying from serials for which they have copying licenses from publishers; copies of articles which these users have obtained from libraries, information businesses, or other access services operating under license or reporting their copying directly to the Center; or copying from titles not listed as being in the Center's system. To expedite identification, libraries and others may find it effective to mark their shelves or microform holdings with a "CCC" for those titles from which copying requires reporting to the Center, and to insert a tab of a distinctive color in such serial copies or volumes when these serials are removed from the shelves for copying. As mentioned in Section 4.2.4, the Center will initially have to charge $1 per extraneous entry for copying reports from serials not yet in the Center's system.

7.2 Fair-Use and Section 108d/g Copying. In organizing the Center, TSM and other publishers indicated that they will cooperate with authors, library associations, and others to establish voluntary guidelines for the fair-use and Sect. 108d/g copying that will not require the payment of fees.

User organizations need not, of course, report their fair-use and Section 108d/g copying to the Center. Such reporting was envisioned as desirable in the early planning of the Center because it would have provided research-valuable records of total photocopying. However, it quickly became evident that the Center could not afford to process copying transactions that would yield no operating revenues, and it was also evident that copy-user organizations were not now uniformly willing to report this information. What the Center has done, instead, is to outline a program through which a user organization may optionally arrange with the Center's contract operator (the contractor which operates the Center's Operations Office) to enter its fair-use and/or Section 108d/g records on a proprietary-information basis, so that only the user organization can later obtain details on its total copying. These proprietary records can perhaps be kept in a manner that will satisfy the record-keeping requirements for the guidelines for "Photocopying--Interlibrary Arrangements." Further information will be supplied on request.

7.3 Making Copies from Earlier Copies. Copies made from earlier copies should usually be reported and paid for, except that normal procedures apply where the original copies were correctly made for library use under Section 108b,c of the new copyright law.

7.4 Microform Copying of Articles

7.4.1 Provision as Microforms. The copying of a CCC coded or listed article as a microfilm, whether from the original serial, a paper copy, or another microfilm, is subject to the same fee-payment and other requirements (bearing of a copyright notice, keeping of "Interlibrary Arrangements" guideline records if these privileges are being used, etc.) as for the preparation of a paper copy, and fee-required copying of such articles should be reported and paid for appropriately. (Obviously, some of the optional methods for reporting or prepayment for paper copies cannot be employed.) Provision and payment for a microfiche containing more copyrighted material than the article to be copied can only be done through the CCC system if the microfiche supplied is not suitable for the preparation of additional microfiche or paper copies; otherwise, a direct license from the copyright owner may be required.

7.4.2 Provision of Paper Copies from Microforms. The copying of CCC coded or listed articles on paper from microforms is subject to all of the requirements for the preparation of paper copies from serials or other paper copies.

7.5 Record Keeping. The Center does not require a user organization to keep copying records after it has reported its fee-required copying to the Center. Indeed, as noted in Section 5.2, user organizations will periodically be able to obtain from the Center for a nominal charge (a little more than $50) complete details on the copying that they have reported, details which have been previously been obtainable internally only at considerable expense. See also the second paragraph in Section 7.2 with respect to fair use and Section 108d/g copying.

APPENDIX I

COPYRIGHT CLEARANCE CENTER, INC.
Operations Office: P. O. Box 765
Schenectady, New York 12301

USER-ORGANIZATION REGISTRATION FORM

Please send a separate copy of this form for each user organization (or separately authorized unit therein) to the Copyright Clearance Center, Inc., Operations Office, P. O. Box 765, Schenectady, N.Y. 12301. Please notify this Operations Office promptly whenever any of the following items are changed.

Name of user organization: _____

_____

_____

Address to be used for billing: _____

_____

_____

Name, address, and telephone number of individual to be contacted for clarifications: _____

_____

_____

Type of Organization:
Library ____
Information Business ____
Not-for-profit access service ____
Other (please specify):

_____

_____

For CCC Operations-
Office Assignment

_____
CCC User-Registration
Number Assigned

CCC-U1

APPENDIX II

BRIEF EXPLANATION OF CCC ARTICLE-FEE CODES

As mentioned earlier, each serial desiring to collect per-copy fees for 1978 and later articles through the Center has been requested to place a standardized code in a standardized way on the first page of all such articles--a code which uniquely identifies both the article (and hence the serial and its publisher) and the individually designated per-copy fee. This code is preferably accompanied by a copyright notice, both to assure that this statement is presented correctly and as a service to user organizations which otherwise might have to add it to copies themselves under the new law.

Fortunately for the Copyright Clearance Center, Inc., Subcommittee 34 of the American National Standards Institute's Standards Committee Z39 had been appointed in 1976 to develop a code or codes for serial articles, for a variety of purposes which include use for a system involving necessary payments for photocopy(ing) privileges. This Subcommittee developed and discussed several code designs, then two of its members tested on a computerized base of over 270,000 bibliographic references the effect of the presence or absence of specific bibliographic elements on the ability of any code to identify articles uniquely.

This study showed that virtually all of the available bibliographic elements for each article would have to be used to establish unique identification with acceptable accuracy for a multiplicity of uses. This meant that a code structure to include all the necessary bibliographic elements would be both complex and long, because of the wide variety of identification practices still employed by serials. The Subcommittee may eventually develop a standard for such a complete code--essentially, a "bibliographic strip" for an article--but on-going work on an international standard may make this presently untimely, and, again, such a code will be a long one.

Accordingly, Subcommittee 34 of ANSI Committee Z39 developed and will shortly process through ANSI standards-approval procedures a code structure for article identification for use specifically for copyright-fee payments such as those to be used by the Copyright Clearance Center, Inc. This is the code structure which serials wishing to participate in the Center's programs will use to create the article-fee code statements required for the first page of each article for which they require a fee.

This ISSN-based code structure--all-numerical--is as follows. It is a fixed-field code; initial zeroes are employed as needed to left-fill the fields for the Item Number and the Per-Copy Fee. The number of meaningful digits required for each field is shown below them (dividers not counted):

XXXX-XXXX/YY/NNNN-NNNN$XX.XX/X

Serial ISSN	Last Digits of Year	Item No.	Per-Copy Fee	Author-Royalty Indicator
8	2	8	4	1

Compendia of short documents not issued serially will be employing ISBN's (International Standard Book Numbers) instead of an ISSN's, and publishers of separates that are not in a series will be employing STRN's (American National Standard Technical Report Numbers)--in the later case for all portions of the code preceding the article.

The "Item Number" is a new, arbitrary convention of the system, designed to guarantee unique codes. It is an eight-digit number (separated into two fields of four digits for ease of reading) which each serial may either assign as it sees fit, as long as its method results in a unique number for each "item" in that serial, or which the serial may base on certain bibliographic elements if its dating system permits. Even arbitrary "Item Numbers" can have some bibliographic value if sequential (but not necessarily consecutive) numbers are employed in a given year, but this is not a requirement of the system. For example, some serials might find it useful to employ numbers assigned to manuscripts. However, a serial that does desire to build some bibliographical significance into its Item Numbers, against the possibility of having them cited to it frequently, might develop this eight-digit field by using the structure MMDD-PPPP, where MM might stand for the (always-two-digit) month of issue (01 to 12), DD for the (always-two-digit) day of issue (01 to 31), and PPPP for the (always-four-digit) number of the first page of the article (0001 to 9999). Other serials may insert their volume and issue numbers in the MMDD fields. Still other conventions are likely, so user organization will need to learn what system a serial is employing before trying to use Item-Number data bibliographically.

Some examples may prove instructive:

1. In a 1978 May 21 (78-05-21) issue of a journal which has XXXX-XXXX as its ISSN, the code statement for an article beginning on page 243 (0243) to which the journal has assigned a bibliographically based Item Number of 0521-0243 and a per-copy fee of $X.XX ($0X.XX), but for which no author royalty is involved, would be:

   XXXX-XXXX/78/0521-0243$0X.XX/0
   © 1978 Name of Copyright Owner

2. In a nonserial collective work copyrighted in 1978 which has as its ISBN X-XX-XXXXXX-X, the code statement for an "article" beginning on page 32 to which the publisher has assigned a bibliographically based Item Number of 32 and a per-copy fee of $X.XX ($0X.XX), and for which an author royalty is involved, would be:

   X-XX-XXXXXX-X/78/0000-0032$0X.XX/1
   © 1978 Name of Copyright Owner

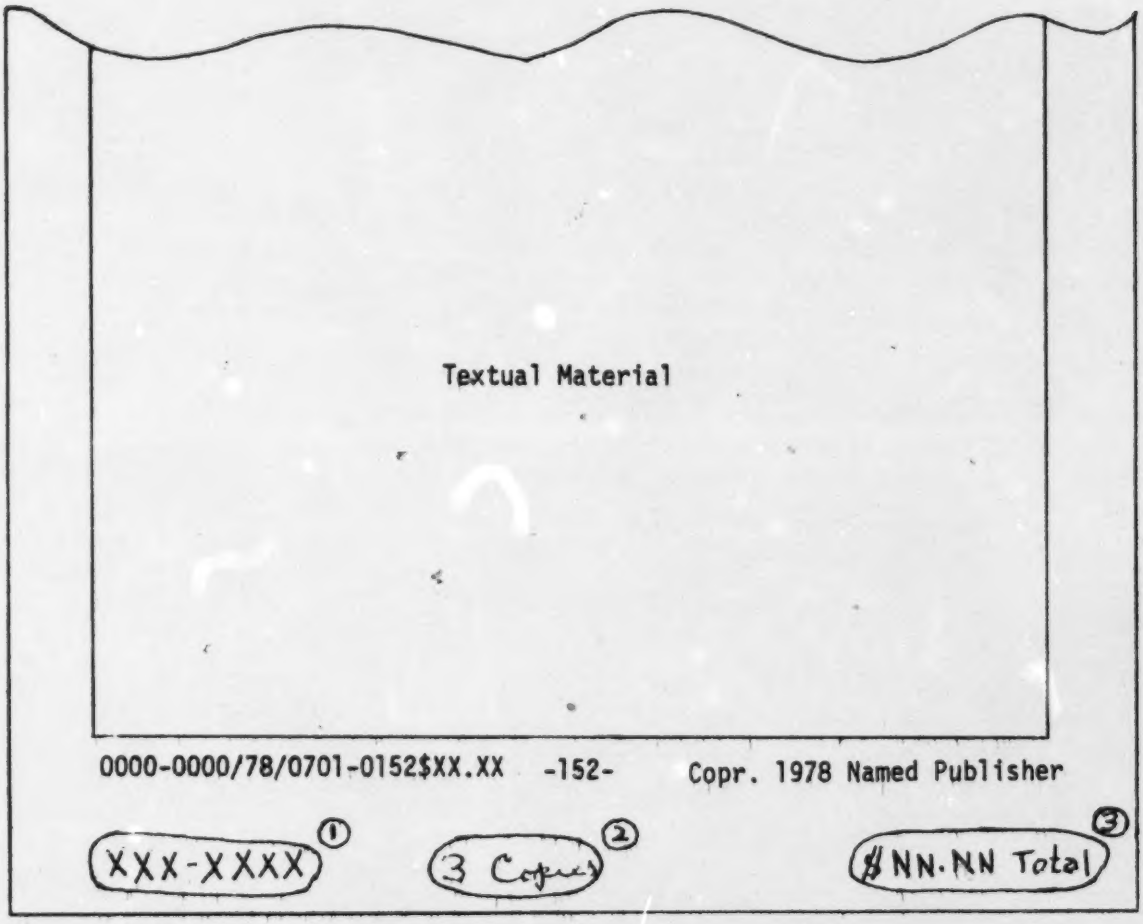
3. For a separate not issued in a series, the code statement could be as follows for a separate having as its (STRN) "separate" number PUBR-78/0312 (where the Report Code assigned to the publisher

is PUBR and the separate is that publisher's 312th (0312) in 1978), having been assigned a copying fee of $X.XX ($0X.XX), and having no author-royalty arrangement:

PUBR-78/0312$0X.XX/0
© 1978 Name of Copyright Owner

APPENDIX III

EXAMPLE OF A MARKED REPORTING COPY FOR A CODED ARTICLE



Needed to Be Added

1. CCC User-Organization Number
2. Number of copies made.

Needed Only When Prepaying, or When Paying with Reporting

3. Total copying fee (per-copy fee in code multiplied by the number of copies).

APPENDIX IV

EXAMPLE OF A MARKED REPORTING COPY FOR AN UNCODED ARTICLE

XXX-XXXX ④ 4 Copies ⑤ 9 Pages ⑥ $NN.NN Total ⑦

able to select, hence to limit and rank, the ideas which the forthcoming R&D program can cover.

5) In the process of selection, the results expected from R&D after implementation will be evaluated:

a) *quantitatively,* for prevailingly economic targets;

b) *qualitatively,* for prevailingly social targets.

6) In order to rank ideas, i.e., to determine priorities, the following criteria will be utilized:

a) for economic problems, *the efficiency criterion,* together with the criterion of the minimum possible risk;

b) for social problems, *the urgency criterion,* restricted by their scope.

7) The R&D program to be worked out on the basis of this methodology is considered to represent one stage in the continuous R&D process, always going on, on a wider scale and

luting the environment, hygienization of life, finding and exploiting new sources of food, water desalinization, creation of new materials, more comfortable means of public transport, etc. This expenditure is recovered only over a very long range, by a gradual prevention and reduction of the outlay on health protection, by cutting the infant death rate, by lengthening the average life expectancy, and, finally, by raising the level of social labor productivity.

IV. How to Collect Ideas Generating National R&D

Collecting ideas is one of the most difficult problems. Why? First of all, because at that stage the idea does not yet enjoy

To Be Added If Not on First Page

1. Title of serial.
2. Date of issue.
3. First page number.

Needed to Be Added

4. CCC User-Organization Number.
5. Number of copies made.
6. Number of pages in article.

Needed Only When Prepaying, or When Paying With Reporting

7. Total copying fee (the number of copies times the per-copy fee for the serial in the CCC's list, sometimes first requiring multiplying a per-page fee by the number of pages in the article).

Example Used With the Permission of the Institute of Electrical and Electronic Engineers

CCC LOG SHEET FOR CODED ARTICLES

Log No. _____ Date _____

CCC USER NO. [ ]

For CCC Use	Article-Fee Code	No. of Copies	(Optional)* TOTAL FEE	For CCC Use	Article-Fee Code	No. of Copies	(Optional)* TOTAL FEE

-17-

21

* Enter data only if payment is to accompany reporting.

CCC-U2

20

APPENDIX V

CCC LOG SHEET FOR
UNCODED ARTICLES

Log No. _____ Date _____

CCC USER NO.		Issue Date			Article			(OPTIONAL)[d]	
Title of Serial[a] (NOT Article)	(For CCC Use) Serial Code	Last 2 Digits of Yr[b]	Month, in Digits	Day	First Page No.[c]	No. of Pages	No. of Copies	Copying Fee For Item	Total

[a]As on first page of article, adjacent page, or cover. Do not change word order. Use very few abbreviations (J, Trans, Proc, etc). For proceedings, preprints, separates, etc., please include name of publisher (use two lines if necessary).

SUBTOTAL[d] - $_____

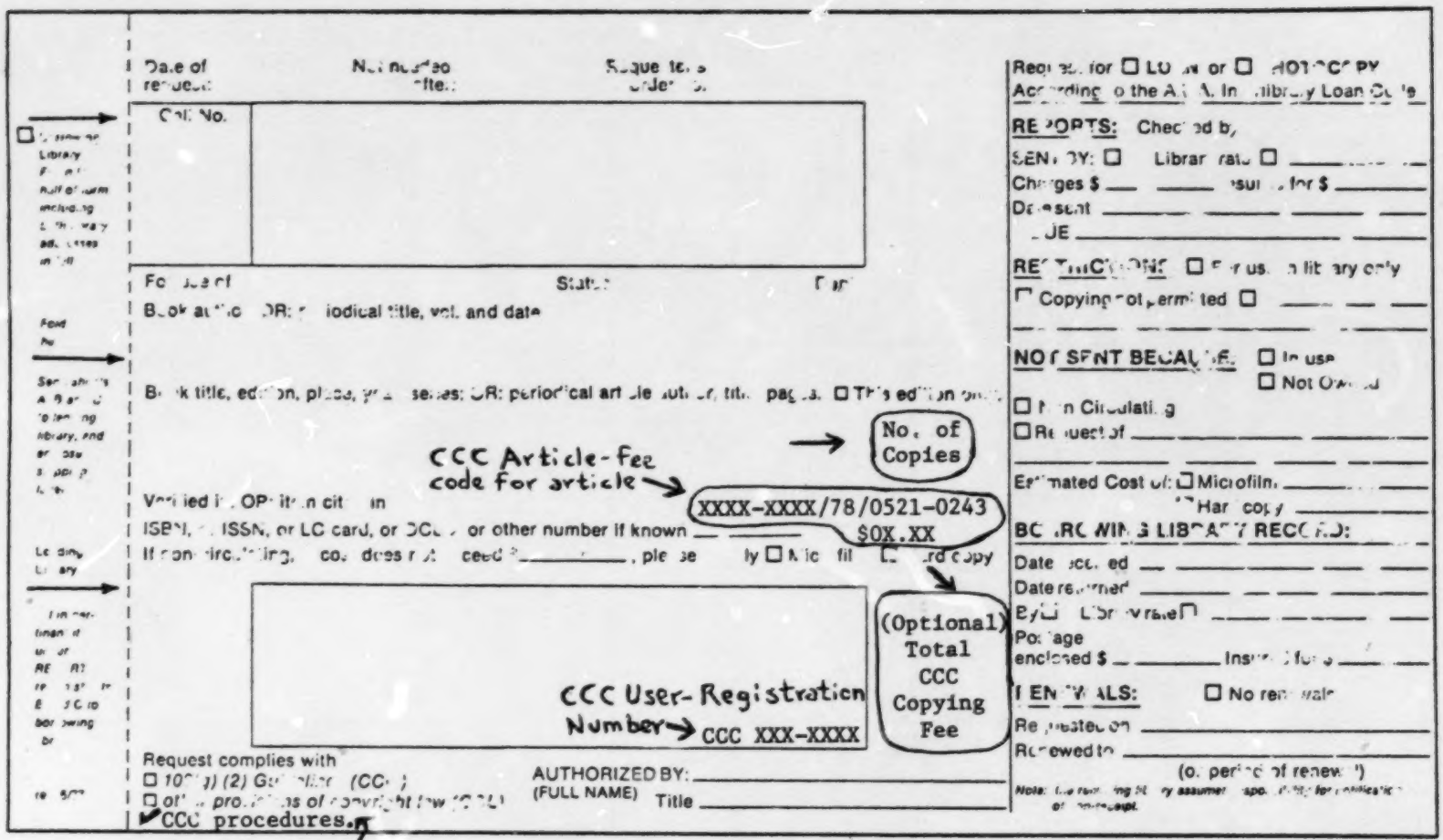
[b]Gregorian Calendar.

[c]Add a star (*) if from a supplement or second part.

[d]Enter data only if payment is to accompany reporting.

CCC-U3

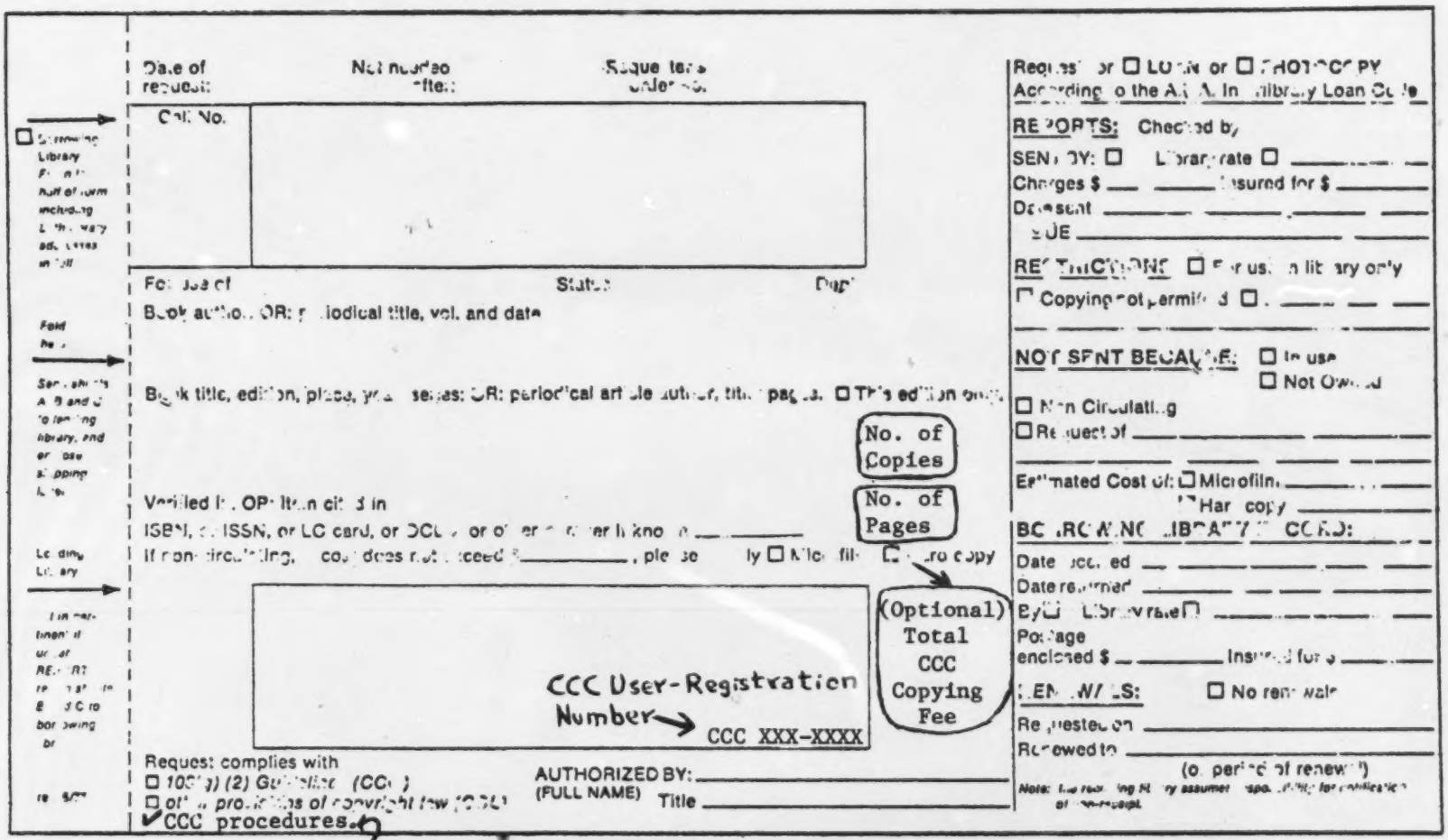
ILL FORM MARKED TO REPORT A CODED ARTICLE



Requesting organization would then add the appropriate one of the following authorization statements (whichever is permitted by the copy-supplying library):

1. Please pay copying fee to CCC; we will reimburse you.
2. Please transmit this ILL form to CCC; we authorize it to charge us.
3. We will pay the copying fee directly to the CCC after your fulfillment.

ILL FORM MARKED TO REPORT AN UNCODED ARTICLE


Date of request:
Not needed after:
Request ter... under...
Call No.
Book author... OR: ...riodical title, vol. and date
Book title, edition, place, ... series; OR: periodical article author, title, pages. ☐ This edition only
No. of Copies
No. of Pages
Verified in OP... ition cited in
ISBN, or ISSN, or LC card, or OCL... or other number known ...
If non-circulating, cost does not exceed $..., please ... by ☐ Microfilm ☐ Hard copy
(Optional) Total CCC Copying Fee
CCC User-Registration Number → CCC XXX-XXXX
Request complies with
☐ 108(g)(2) Guidelines (CCG)
☐ other provisions of copyright law (CCL)
✔CCC procedures.
AUTHORIZED BY:
(FULL NAME)
Title
Request for ☐ LOAN or ☐ PHOTOCOPY
According to the ALA Interlibrary Loan Code
REPORTS: Checked by
SENT BY: ☐ Library rate ☐
Charges $ ... Insured for $
Date sent
DUE
RESTRICTIONS ☐ For use in library only
☐ Copying not permitted ☐ ...
NOT SENT BECAUSE: ☐ In use ☐ Not Owned
☐ Non Circulating
☐ Request of
Estimated Cost of: ☐ Microfilm ☐ Hard copy
BORROWING LIBRARY'S RECORD:
Date received
Date returned
By ☐ Library rate ☐
Postage enclosed $ ... Insured for $
RENEWALS: ☐ No renewals
Requested on
Renewed to
(or period of renewal)
Note: The receiving library may assume responsibility for compliance ... of non-receipt.
Lending Library
Information needed on RETURN to be sent to borrowing library
Form No.
Send this A, B and C to lending library, and enclose shipping label.

Requesting organization would then add the appropriate one of the following authorization statements (whichever is permitted by the copy-supplying library):

1. Please pay copying fee to CCC; we will reimburse you.
2. Please transmit this ILL form to CCC; we authorize it to charge us.
3. We will pay the copying fee directly to the CCC after your fulfillment.

THE COPYRIGHT CLEARANCE CENTER

Prepared for the Fall Meeting of the
Upstate New York Chapter
American Society For Information Science
October 27, 1977

The new copyright law provides many libraries with some specific privileges as regards photocopying for patrons, but it leaves basically unchanged the primary copy rights of authors and publishers. Because of this -- because libraries and other organizational users of document copies will vitally need a convenient centralized mechanism for payment for the preparation of needed photocopies which otherwise would fall outside the provisions of and guidelines for the new copyright law -- the Copyright Clearance Center, Inc., has been established and will be ready for use when the new law goes into effect on January 1, 1978. The Center is a not-for-profit organization with an administrative office in New York City and an operations office in Schenectady, New York.

A central mechanism of this type will be needed by many libraries, library consortia, information businesses, access services which prepare alterting and retrieval guides (including tables of contents) and back these up with photocopies on request, and various other photocopying organizations. For many of these it will be a cost-effective alternative to seeking direct licenses for copying from hundreds or thousands of serials, although that route will continue to remain open.

As some of you know, the Center was planned by a Task Force of the Technical, Scientific, and Medical Division of the Association of American Publishers, with the cooperation of the Information Industry Association, the Authors League of America, and representatives of scientific societies and independent publishers. Advice and approval was received from the STI Communications Task Group of the Industrial Research Institute, and plans were tested and improved through presentation to many groups and through two advisory committees. Mr. Ben H. Weil, on loan from Exxon Research and Engineering Company, was responsible for systems design and for setting the Center into operation.

The Center was not created in a vacuum. In its planning we had available the deliberations of the Conference on the Resolution of Copyright Issues and the preliminary report of the King Research study; further, two members of our planning group were members of the advisory group for that study. Several members of our planning group had also served on the Cosmos Club and Dumbarton Oaks groups, as well as the Conference on the Resolution of Copyright Issues, and the Association of American Publishers and the Information Industry Association had in early 1976 held a Conference on the Essential Elements of a Copyright Clearinghouse.

IR 005 805

From among the several alternatives for a clearance mechanism we chose the direct-transactions route--payment for the specific photocopying done--for several vital reasons. First of all, it is the most exact method, channeling payments in direct proportion to use. Because charges are specific, it is easier to pass them on to the direct users. Also, we realized that one of the simpler alternatives, adding one or more increments to subscription prices to license photocopying, would inevitably have several harmful effects: further erosion in subscriptions because of inflexible library budgets (and greater difficulty in passing along the higher costs to copy users), and consequent reductions in local collections and direct service to local users. We will discuss some other alternatives later.

The procedures of the Center have been detailed in two handbooks. One of these provides the publishers of serials and separates with basic information on how to make copying of their articles accessible through the Center. The other provides libraries and other user organizations with information on how to register with, report to, and pay through the Center for their fee-required photocopying. These handbooks are readily available, so only a brief summary seems indicated.

In this system, each individual publisher sets its own article copying fees (if any), and in 1978 will usually begin to state these fees on the first pages of articles as part of an article-fee code. The Center will publish lists of participating publishers, including stated fees (if any) for the copying of pre-1978 articles.

Use of the services of the Center involves user-organization registration with the Center's Operations Office, to obtain a CCC User-Registration Number for use in reporting copying, and to receive Center lists and publications. User reporting of fee-required copying is normally done monthly in a variety of ways, including sending in marked reporting copies of the first pages of articles copied; completed data logs; or, through copy-supplying libraries, marked copies of the ILL form. Payment methods include deposit accounts, billing, and possibly preparyment through use of stamping meters or stamps.

We have noted some comments in presentations and elsewhere to the effect that our system will be uneconomic and therefore socially undesirable--that it will take years for the Center to break even, and that it will therefore be a financial burden to libraries without benefitting copyright owners. We are glad, therefore, to be able to report that, based on our administrative budgets and our three-year contract with our systems operator, the Center has been able to set a 1978 handling charge (to be deducted from stated copying fees, not added to them) of $0.25 per article copied.

This charge does not include much amortization of approximately $200,000 for design, set-up, and initial operating costs, but these would have added at most a few cents per copy if they had to be amortized over five years. (Instead, most or all of the $200,000 will have been funded by contributions from concerned organizations.) And even the present handling

charge can be reduced when transactions exceed the very low basis which we have used for calculations (1,000,000 copies reported per year). In addition, the system has been designed to minimize incremental internal costs for users; some preliminary studies indicate that these should approximate $0.10 per transaction for manual methods of reporting. We doubt that these handling costs could be considered a social disaster.

Another misapprehension about our system is that it will slow access to information--to the copies needed by users. This is not the case. Users of the Center may proceed to make their copies when needed, and then to report and pay for them. Still another rumor is that users of the Center will have to keep elaborate and costly records. Actually, once copying is reported, the Center itself does not require a user to keep any records; indeed, its system can inexpensively provide a user with detailed information on what it has been copying (by serial title, or even by article).

Moreover, Center-using organizations will not be required to report their Section 107 or 108 fee-free photocopying. This was initially envisioned as desirable in order to provide research-valuable records of total photocopying, but it was quickly evident that the Center could not afford to process entries that would yield no revenues, and that some libraries did not desire to do this.

The Center recognizes, of course, that it provides a direct answer to only one copying need of users--the need to be able quickly to make fee-required copies of documents available locally. Users also have a need for copies of documents that are not at hand, but here also the Center will be of service. It will provide a mechanism for payment by suppliers of copies for which fees are required, suppliers which are not directly licensed by the individual publishers. (Conversely, we have pointed out to publishers that licensing copy suppliers as the only means to serve copy-reading users--without making local copying possible--would fail to satisfy users' very real needs for speed, and would inevitably have a deleterious effect on local subscriptions.)

Some information about the organization of the Copyright Clearance Center itself seems indicated. Its charter and bylaws were drafted by representatives of the Association of American Publishers, the Authors League of America, the Information Industry Association, and independent publishers, who also recommended much of its initial Board of Directors. The bylaws call for a sizeable Advisory Committee which may attend all Board meetings and which may later recommend representative selection of the next Board.

The Center's Board of Directors, which includes leaders from the publishing, scientific, and academic communities, was formally elected at the first Board meeting on September 1:

CHAIRMAN, Michael Harris, Vice President, John Wiley and Sons, Inc.; VICE CHAIRMAN, H. William Koch, Director, American Institute of Physics; VICE PRESIDENT AND SECRETARY, Ben H. Weil, Senior Staff Advisor, Exxon Research and Engineering Company; TREASURER, James Barsky, Senior Vice

President, Academic Press, Inc.; Garth Hite, Publisher, The Atlantic Monthly; William McElroy, Chancellor, University of California at San Diego; Barbara W. Tuchman, author of The Guns of August, Proud Tower, Sitwell and the American Experience in China. Norman Garmezy, Professor of Psychology at the University of Minnesota, was named to Board membership at its meeting on September 21.

Nominations for the Center's Advisory Committees were approved on September 21, and the following members have already indicated their willingness to serve:

Toni Bearman, National Federation of Abstracting and Indexing Services; Kathleen Bingham, FIND/SVP; Christopher Burns, Arthur D. Little; John E. Creps, Jr., Engineering Index; Donald C. Curran, Library of Congress; Eugene Garfield, Institute for Scientific Information; Eugene L. Hess, Federation of American Societies for Experimental Biology; Townsend W. Hoopes, Association of American Publishers; Irwin Karp, Authors League; Bella Linden, Linden and Deutsch; William A. Nasri, University of Pittsburgh; Charles Overberger, University of Michigan; John Rothman, New York Times; Lewis L. Snyder; Paul Zurkowski, Information Industry Association; and Gerald J. Sophar, National Agricultural Library.

The Center has selected Finserv Computer Corporation of Schenectady, New York, to serve as its operational contractor. Finserv, which was chosen from among seven bidders, will operate with cooperation from Bibliographic Retrieval Services, Inc., also of Schenectady. Thus, the Center's Operations Office will be in Schenectady.

The Board of Directors has also chosen Mr. David Waite as the Center's President, its chief operating officer, effective October 1. Mr. Waite, among other responsible positions, was formerly President and General Manager of Information Dynamics Corporation. Mr. Waite has thus taken over from Mr. Ben H. Weil, who returns to Exxon Research and Engineering Company but will remain active as a Center Board member and officer.

This September, the U.S. Justice Department issued a Business Review Letter assuring that the Department will not raise antitrust objections to the establishment or operation of the CCC.

Work is proceeding on schedule on the details still ahead. Pilot runs are scheduled on the operational programs of the contractor before the end of 1977. Lists of participating serials will be published before the end of the year, so that user organizations will know the coverage of the Center; supplements will be issed frequently. Naturally, concentrated efforts are underway to assure maximum publisher participation in the Center's program. Representatives of the Center are participating in numerous workshops and meetings designed to explain the services and operations of the Center.

The Copyright Clearance Center is open for service to all authors and publishers, and to use by all types of copy-using organizations. It is designed

to serve both groups, and as such cannot be an interpreter of the copyright law or its guidelines. We note, however, that users are raising many questions, and believe that more-exact guidelines and definitions would be of real service.

One last word about mechanisms. We were well aware of the King Research statistical findings, and of the temptation to use a statistical approach--for example, to start with a system addressed largely to major libraries and to the major journals. But we also knew that such a system would never be generally approved by publishers, whose cooperation is the cornerstone for any system, because it would not properly protect copyrights. Also, "great oaks from little acorns grow," and photocopying--extensive as it is--is certain to increase, so that there could be vast confusion and discontent regarding now-small organizations if/when they are no longer small. The legal reasons predominated, but for many reasons we could not adopt such a statistical approach.

We have appreciated this opportunity to describe the Center's programs to you. We firmly believe that the creation of the Center is a responsive answer to the challenge posed by the Senate in its 1975 Report and echoed again in Senator McClelland's 1976 letter to CONTU: the recommendation to authors, publishers, and others concerned that "workable clearance and licensing procedures be developed...concerning library photocopying practices not authorized by the new law."